Convention on Cluster Munitions

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Review of the status and operation of the Convention and other matters important for achieving the aims of the Convention
Implementation support

Convention on Cluster Munitions Implementation Support Unit

2017 Annual Report

Submitted by the Director of the Implementation Support Unit

Report Summary

1. The Implementation Support Unit's 2016 to 2020 work plan and budget was approved by the States Parties to the Convention at the First Review Conference (1RC) of the Convention on Cluster Munitions (CCM), therefore the 2017 Implementation Support Unit work plan and budget was derived from this earlier sanctioned five-year work plan. This report outlines the key objectives and outcomes for the period under review which covers the period from 1 January 2017 to 31 December 2017 and is aligned with the period covered by the financial audit reports of the CCM Implementation Support Unit Trust Fund and Sponsorship Programme accounts.

Key Objectives

2. The Implementation Support Unit (ISU) 2017 work plan was developed on the directives approved and established upon the creation of the Unit. This directive mandates the ISU to support States Parties, inter alia, in the following ways: assist the President in all aspects of the Presidency, support the Coordinators in their efforts to prepare, support and follow-up from formal and informal meetings of the Convention; offer advice and support to States Parties on the implementation of the Convention; develop and maintain a resource base of relevant technical expertise and practices and, upon request, provide States Parties with such resources; facilitate communication among States Parties and other relevant actors, cooperate and coordinate amongst these and maintain public relations, including efforts to promote the universalization of the Convention; keep records of formal and

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informal meetings under the Convention and other relevant knowledge products, expertise and information pertaining to the implementation of the Convention; organize the set-up of a sponsorship programme assisted by the Geneva International Centre for Humanitarian Demining (GICHD) and provide guidance, input and support to this programme.

Key Outcomes

3. The ISU met all of the main objectives outlined in the 2017 work plan. In accordance with its primary function, the ISU provided the administrative and substantive support necessary for the Convention's Presidency and Coordination Committee members to effectively carry out their mandates in facilitating the implementation of the Convention's objectives as outlined in the Dubrovnik Action Plan (DAP). This included support to Germany in its role as the President of the Seventh Meeting of States Parties (7MSP) to the CCM thereby contributing to the successful hosting of the meeting which was held in Geneva from 4 to 6 September 2017. Support was also availed to Nicaragua, in its role as the President of the Eighth Meeting of States Parties (8MSP) to the CCM from 7 September 2017.

4. The ISU also successfully provided technical and logistical support to the 14 States Parties that make up the Convention's Coordination Committee in the effective and efficient implementation of its various thematic mandates. In addition, implementation support was made available to States Parties and Signatory States while States not Party were provided with additional information or clarification as required. Similarly, upon request, the ISU facilitated coordination and cooperation between States and civil society organisations as relevant.

5. In fulfilling its mandate to communicate the work of the Convention and raise its profile, the ISU continued to produce quarterly newsletters circulated electronically to its mailing list. These were also made available on the CCM website and its social media platforms together with other printed Convention related publications.

6. In response to requests from States Parties, the ISU undertook to have translated into French the 3rd Edition of "*A Guide to Cluster Munitions*". It will be available in both soft and hard copy by the middle of 2018. Additionally, the French and Spanish versions of the Dubrovnik Action Plan were made available both in booklet and downloadable pdf format on the Convention's website.

7. Administratively, with the recruitment of the Implementation Support Assistant in April 2017, the 2.5 positions of the ISU establishment structure were all filled enabling the Unit to operate at full capacity.

8. In accordance with the agreement between CCM States Parties and the GICHD, the ISU continued to benefit from the administrative, logistical and infrastructural services provided to it by the GICHD.

Financial Report Overview

9. The approved budget for the year 2017 was CHF 455,511. At the beginning of the year, the CCM ISU Trust Fund bank account had an opening balance of CHF 417,256 which included CHF 355,783 carried over from voluntary contributions made by States Parties between 2013 and 2015 and earmarked for the establishment of the ISU. Total financial contributions made by States Parties in 2017 to the CCM ISU Trust Fund amounted to CHF 555,473 therefore total revenue in 2017 was CHF 972,728. The total amount spent on implementing the core mandate of the ISU was approximately CHF 432,239. Savings made during the year were mainly as a result of minimal communication costs and underspending on staff costs and staff travel. Therefore, total funds carried over into 2018 amounted to CHF 170,392.

10. The CCM ISU Working Capital Reserve (WCR) was CHF 370,008 as at 31 December 2017. This comprised of the CHF 14,225 contributed by two States Parties and the thrice carried over amount of CHF 355,783 which was transferred out of ISU Trust Fund into the restricted WCR.

11. The Audit Reports dated 11 May 2017 covering the CCM Implementation Support Unit Trust Fund and the CCM Sponsorship Programme financial reports were reviewed by external auditors, Deloitte SA, and deemed to be in compliance with Swiss Law. As required, and on behalf of the 8MSP presidency, the ISU transmitted the 2017 audit reports electronically on 14 May 2018 to all CCM States Parties for their information and record.

12. As at 31 December 2017, the available funds in the CCM ISU Trust Fund amounted to CHF 170,392 while the CCM ISU Sponsorship Programme Fund account had a balance of CHF 7,972. Both balances were carried forward into 2018 to enable the ISU to continue to conduct its activities without interruption.

Report on the 2017 Activities of the Implementation Support Unit

Objectives, Outputs and Outcomes

13. The Implementation Support Unit's 2017 work plan was based on the principal objective of the ISU which is to support the States Parties to the CCM on the implementation of the Convention during the period under review and in accordance with the decisions taken by the States Parties at the 1RC and subsequent meetings of States Parties; and pursuant to the priorities established by the States Parties through the Dubrovnik Action Plan. In keeping with its mandate, the ISU endeavoured to:

- Provide support to all States Parties through the Convention's implementation machinery and Coordination Committee[1], as well as to the Sponsorship Programme;
- Provide advice and technical support to individual States Parties through relevant expertise and best practices on the implementation of the Convention;
- Prepare for and keep records of formal and informal meetings under the Convention and other relevant knowledge products, expertise and information pertaining to the implementation of the Convention;
- Facilitate communication amongst States Parties and other relevant actors, cooperate and coordinate amongst these and maintain public relations including efforts to promote universalization and other work of the Convention;
- Serve as an interface between the States Parties and the international community on issues related to the implementation of the CCM.

14. In fulfilling its mandate, the ISU continued to base its activities on the priorities, objectives and actions outlined in the Dubrovnik Action Plan (DAP) which seeks to carry forward the aim of ensuring effective implementation of the provisions of the CCM from the First to the Second Review Conference of the Convention which will be held in 2020. Most of these actions are aimed at ensuring the timely implementation of State Party commitments under the Convention particularly given that in the period between the First and Second Review Conferences, many States Parties will have to meet their respective

[1] States Parties participating in the Coordination Committee during the period under review included: Australia, Bosnia and Herzegovina, Chile, Costa Rica, Croatia, France, Germany, Iraq, Ireland, Italy, Lao People's Democratic Republic, Mexico, Mozambique, Netherlands, New Zealand, Nicaragua, Norway, Panama, Peru, Switzerland and Zambia.

Convention stipulated deadlines on stockpile destruction and clearance of cluster munition remnants in contaminated areas.

I. Provide support to all States Parties through the Convention's implementation machinery and office holders, as well as to the Sponsorship Programme and the thematic working groups

15. In its role as President of the 7th Meeting of States Parties (7MSP) to the CCM, Germany took up leadership of the implementation of the Convention on 6 September 2016 at the end of the 6MSP. The ISU consequently delivered substantive support to the 7MSP President in all aspects of the work of the Convention to facilitate the effective leading of its work by the Presidency, including the preparation and convening of formal and informal meetings, in addition to the provision of implementation status updates as well as analyses of various national reports to support the work of States Parties. This support comprised the provision of secretarial, logistical and administrative services at eight Coordination Committee meetings and five other informal meetings/seminars/side events convened by the German Presidency. In addition, the ISU assisted the presidency on the preparation of the CCM Annual Progress report to be reviewed at the 7MSP.

16. The ISU supported or participated in five events hosted or convened by the 7MSP President during the year under review to promote the effective and efficient implementation of the Convention at the national, regional and global level. The first was the Regional Seminar with South East Asian countries on the Country Coalition Concept initiated by the 7MSP President and funded by the European Union, held in Bangkok, Thailand, from 16 to 17 March 2017. The purpose of the seminar attended by representatives of seven States was to discuss future developments impacting the implementation of the CCM with a specific focus on the concept of establishing country coalitions (i.e. with a country specific focus) as a means to enhance international cooperation and thus support the implementation of the Convention in South-East Asia. The meeting was jointly organized by the European External Action Service through the European Union Non-proliferation Consortium, and the United Nations Economic and Social Commission for Asian and the Pacific (UNESCAP) with the support of the ISU-CCM. The ISU used the event to increase awareness and understanding of the Convention thereby contributing to universalization efforts. Since then, one of the participating States is now a CCM State Party.

17. Another event co-hosted and co-funded by the German Presidency of the CCM in collaboration with the Austrian Presidency of the Anti-Personnel Mine Ban Convention (APMBC) and with the technical support of the Geneva International Centre for Humanitarian Demining (GICHD) was a workshop on *Universalizing Land Release* which took place in Geneva on 7 June 2017. The aim of the workshop was to enhance understanding of and exchange good practices in the implementation of the Land Release approach to help affected States address weapons contamination in the most effective and efficient manner possible and meet their respective Conventions completion targets. The ISU gave a presentation highlighting the importance placed by the Convention on the application of appropriate land release methodologies in complying with Article 4 of the CCM. This represented one example of how the ISU could have informal cooperation with other ISUs to improve its capacity to support the States Parties in implementing the objectives of the Convention.

18. The third event was a two half-day South-East European Regional Workshop on the Country Coalition concept jointly organized by the Regional Centre for Security Cooperation (RACVIAC) and the CCM Presidency with the support of the ISU. The workshop on *Enhancing implementation of Articles 3 and 4 of the CCM through the Country Coalition concept* which took place on 12 and 13 June 2017 in Zagreb, Croatia,

was funded by the Federal Republic of Germany and attended by representatives of five States. The purpose of the workshop was to discuss future developments impacting the implementation of the CCM, by focusing on the concept of establishing Country Coalitions as a means to enhance international cooperation and ownership by States Parties to the CCM and thus support the implementation of specific aspects of the Convention in South-East Europe.

19. The ISU also participated as an observer in the informal event on *Military to military exchange of views on cluster munitions* organized by the 7MSP Presidency with the support of the GICHD on 10 August 2017. The event was successful as one of the participating States not Party to the Convention has since acceded to the CCM. The event had allowed for an open and interesting exchange of views on the humanitarian consequences of cluster munitions, their value in military inventories and the challenges faced in finding alternative solutions.

20. On Thursday, 26 October 2017, in New York City, in the margins of the 72nd session of the United Nations General Assembly First Committee on Disarmament and International Security, the ISU participated in a lunch time event hosted by Germany, in its capacity as 7MSP President and focused on the "*challenges to the implementation and universalization of the Convention on Cluster Munitions*". The side event was attended by more than a dozen States including the 8MSP Presidency, Nicaragua, and provided an opportunity to further enhance the Convention's image.

21. During the period under review, the ISU also prepared for and provided substantive support at the three Coordination Committee meetings chaired by 8th Meeting of States Parties to the CCM (8MSP) presidency, Nicaragua. Nicaragua took over leadership of the implementation of the CCM immediately after the closure of the 7MSP on 6 September 2017. The term of office for Nicaragua will end immediately after the closure of the 8MSP on 5 September 2018.

22. In a similar manner, the ISU gave support to individual thematic Coordinators in their efforts to accomplish their objectives as outlined in their respective mandates. This included providing them with the relevant information to assist with the discharging of their mandate to coordinate work associated with and derived from the Convention's Dubrovnik Action Plan as well from other informal meetings of the Convention. The support of the ISU presented members of the Coordination Committee with the necessary tools, technical resources and analytical data to perform their functions and conduct the relevant follow up actions in accordance with the Dubrovnik Action Plan.

23. Specifically, the ISU provided assistance to the Coordination Committee in the following ways:

- *Support on Universalization:* The ISU facilitated communication between the Coordinators and targeted Signatory States, States Not Party and organisations such as the African Union and other regional bodies. The ISU participated in two (2) seminars to help promote the Convention norms and its full implementation: one held in Bangkok on 16 and 17 March 2017 and another in Kampala, Uganda on 29 and 30 May 2017. The *Kampala CCM Ratification Seminar* supported by the ISU was organized by France and Zambia (CCM Coordinators on Universalization) together with New Zealand (CCM Coordinator on National Implementation Measures) and co-hosted by the Government of Uganda. The seminar was also attended by representatives of the International Committee of the Red Cross (ICRC) and the Cluster Munition Coalition (CMC). The ISU further supported universalization efforts through bilateral exchanges with several States present at the First Committee meetings held in New York during the week preceding the vote on *United Nations Resolution A/72/409 on the "Implementation of the Convention on Cluster Munitions"*. The final vote of 142 in favour, 36 abstentions and two against was an improvement from the previous year's 141 in favour, 39 abstentions and two against. Throughout the year under review, the ISU continued to provide

information and clarification as necessary to Signatory States and States not Party upon request. Geneva based activities included undertaking bilateral outreach in support of the Coordinators in the margins of meetings of other Conventions.

- *Support on Stockpile Destruction:* The ISU provided administrative support to the Coordinators through the analysis of Article 7 Reports and by facilitating communication with States with Article 3 on Stockpile Destruction obligations. This included the facilitation of the provision of assistance by one of the leading mine action operators to a State Party which had requested assistance with its Article 3 obligations and with a 2019 due date. This State Party is now on track to meet its deadline. The ISU also provided technical advice to the coordinators in the preparation of the proposed Article 3 Declaration of Completion template to be submitted for consideration by States Parties at the 8MSP.

- *Support on Clearance and Risk Reduction Education:* In supporting the Coordinators, the ISU provided administrative support to them through the continuous analysis of Article 7 reports to keep abreast of developments in compliance with Article 4 obligations. Additionally, the ISU participated in the Balkans workshop on *"the implementation of Article 4 of the CCM"* which took place in Sarajevo, Bosnia-Herzegovina, from 8 to 10 November. The technical workshop organized by the Coordinators on Clearance and Risk Reduction Education, brought together representatives of four affected States from the region, five donor States, one donor organization and three demining agencies. The goal of the workshop was to encourage affected States to continue with their efforts on clearance and for States and operators to share their experiences with one another, through discussions on completion planning, challenges encountered, lessons learnt, regional collaboration and available support.

- *Support on Victim Assistance:* The ISU provided support to the coordinators through the analysis of Article 7 Reports and with updates on the implementation of Article 5. The ISU participated in a closed-door meeting convened by the Coordinators on *Gender perspectives in victim assistance* held in collaboration with the Gender and Mine Action Programme (GMAP) on the sidelines of the CCM 7MSP.

- *Support on International Cooperation and Assistance:* The ISU provided administrative support to the Coordinators through the analysis of Article 7 Reports and kept them updated on the implementation of Article 6 of the Convention in accordance with Action 5 of the DAP. The ISU participated as well as technically and administratively supported the Coordinators in the organisation of 4 informal meetings held during the year on *Enhancing International Cooperation and Assistance under the CCM* in the margins of the meetings of other Conventions such as the Anti-Personnel Mine Ban Convention (APMBC) and the Convention on Certain Conventional Weapons (CCW), including the 20th International Meeting of National Mine Action Programme Directors and United Nations Advisers (NDM-UN20). The purpose of the meetings was to better understand amongst other matters; what obstacles States with obligations face in implementing their commitments; how these could be addressed; the priorities of donor States regarding cooperation and assistance, and how to enhance communication between affected and donor States on these issues.

- *Support on Transparency Measures:* The ISU provided the Coordinator with regular updates and followed up on its behalf, States Parties with overdue national reports. The ISU accompanied the Coordinator to bilateral meetings with States Parties with overdue initial and annual reports to better understand the challenges faced by the States. During the First Committee meetings of the seventy-second General Assembly, at the lunchtime event co-hosted by Zambia as Coordinator on Transparency Measures and New Zealand as Coordinator on National Implementation Measures, the ISU gave a presentation on Article 7 obligations and

its importance. The ISU also used its time in New York to meet with a total of 37 States Parties with overdue initial or annual transparency reports. In reaching out to and having exchanges with 37 out of the 40 States Parties with outstanding initial or annual Article 7 reports; the ISU provided direct guidance to eight States with their initial transparency reporting and to 15 States Parties with their annual reporting which resulted in a significant increase in the reporting rate by the end of the year. This targeted approach resulted in the submission three out of 22 overdue 2016 annual reports within the duration of the mission.

- *Support on National Implementation Measures:* The ISU provided the Coordinator with updates based on Article 7 Reports and email exchanges with States Parties. The ISU also supported the Coordinator in efforts to increase compliance with Article 9 provisions through technical and logistical support at two workshops held during the year; the two day Kampala *Convention on Cluster Munitions Ratification Seminar* held in May 2017 which targeted CCM African Signatory States to provide them with guidance on the importance to implement national implementation measures as articulated in Action 7 of the DAP; and an informal event held in New York in October on "*Implementation of the CCM*". The lunchtime event was attended by representatives of States Parties yet to submit initial transparency reports and aimed to highlight the importance of Article 9 compliance.

II. Provide advice and technical support to individual States Parties through the development of a resource base of relevant expertise and practices on the implementation of the Convention

24. The ISU responded to several requests from individual States Parties and other States requiring additional information on the Convention. This included the provision of clarification on interpretation of CCM Articles, guidance on where to find the requested information and/or how to contact the appropriate expert institutions or individuals. The ISU continuously updated the existing contact list of national focal points and key stakeholders in order to better facilitate follow-up and support.

25. In response to an increased demand for the "A Guide to Cluster Munitions 3rd Edition" publication in other languages, the ISU awarded a contract to have the book translated into French. The French version is already available in electronic version and will be available in the print version by mid-2018. The publication provides updated information on the Convention's key obligations such as stockpile destruction and cluster munitions clearance and features comprehensive descriptions and illustrations of the types of cluster munitions in contaminated areas; explores good practices in risk education and victim assistance and highlights other critical elements such as information management systems and gender and diversity. The publication remains useful for new States Parties, or States considering accession to the Convention, who may be seeking additional information, including specific responsibilities of States Parties.

26. The ISU also produced a print version of the DAP in French and Spanish; the main guidance document in the implementation of the Convention for States Parties up to 2nd Review Conference in 2020. This was in addition to an electronic version of the CCM quarterly newsletter produced and circulated four times a year highlighting key events during the preceding quarter.

	Print Version	*Electronic Version*	*Costs covered by ISU funds*	*Costs covered by other funds*	*Comments*
A Guide to Cluster Munitions 3rd Edition French translation	-	-	x	-	Translation only done while printing will be in 2018
Dubrovnik Action Plan (DAP) Booklet in French and Spanish	x	x	x	-	
CCM Quarterly Newsletter	-	x	-	-	
CCM Brochures	x	x	-	-	
CCM Membership Maps	x	x	-	GICHD in-kind support	
CCM Presidency Flags (table)			x	-	

III. Prepare for and keep records of formal and informal meetings under the Convention and other relevant knowledge products, expertise and information pertaining to the implementation of the Convention

27. The ISU prepared, supported, kept records of and carried out follow-up activities associated with eleven meetings of the Coordination Committee held in 2017. Of these, eight were under the German presidency and three under the Nicaraguan presidency. The ISU also provided additional information and continuous updates to individual members of the Coordination Committee. This was in addition to the support provided in the development of their thematic action plans and strategies aimed at enhancing the implementation of the DAP and the effective execution of their mandates during the year and up to the 8MSP. All Minutes of the Coordination Committee and the reports of other meetings held were made available on the Convention's website. Reports on activities and events held by the Coordinators were also made available on dedicated thematic pages on the Convention's website.

IV. Facilitate communication amongst States Parties and their relevant actors, cooperate and coordinate amongst these and maintain public relations including efforts to promote universalization and other work of the convention

28. During the period under review, the ISU continued to administer and maintain the official website of the Convention and provided updated information about the Convention on a regular basis. The ISU on a regular basis communicated updates on matters related to the Convention on its website and other media fora. This included the production of Convention related publications and other promotional materials including brochures on the Convention, the Presidency and its functions, the Coordination Committee, and the ISU itself to further establish the CCM brand and to provide practical tools to stakeholders and

others seeking to understand the Convention better. All these brochures are available on the Convention website.

29. The ISU increased its use of the CCM's social media platforms (Twitter and Facebook) to raise visibility of the Convention and to share key information. This strategy resulted in growth of audience following, liking and sharing the information provided.

30. The ISU facilitated dialogue between States Parties, Signatory States and States not Party amongst themselves and /or with relevant organizations as appropriate. This resulted in the establishment or enhancement of partnerships at different levels in accordance with Article 6 of the Convention.

V. Serve as an interface between the States Parties and the international community on issues related to the implementation of the Convention on Cluster Munitions

31. In addition, the ISU delivered presentations or briefings at various workshops/seminars as well as to visiting Swiss government dignitaries, donor meetings, new GICHD staff and students of higher institutions of learning. This was done with the intention of further raising awareness of the CCM while disseminating understanding of the Convention regarding the obligations and implementation status of the Convention, including sharing lessons learnt and key challenges on implementing the Convention. Some of these activities conducted were at events held outside Geneva.

Support of the Geneva International Centre for Humanitarian Demining

32. As stipulated in the 2014 ISU Hosting Agreement between the CCM States Parties and the GICHD, the ISU was provided logistical and administrative support for an amount estimated at CHF 120,000. This in-kind support covered costs related to office occupancy, office supplies, IT network maintenance, software acquisition, human resources management, travel services, hosting management of the CCM website, management of contribution agreements and service contracts and financial management, monitoring and controlling.

33. Additionally, in accordance with the hosting agreement, the GICHD administers the Sponsorship Programme on behalf of the ISU. The GICHD therefore facilitated participation of beneficiaries related to a number of CCM related meetings and workshops. To this end, in 2017, the sponsorship of 18 State delegates was facilitated. This support was extended to include the May 2017 Universalization and National Implementation Measures workshop held in Kampala, Uganda and the June 2017 South Eastern European seminar held in Zagreb, Croatia.

34. Furthermore, during the three-day 7MSP, the GICHD assisted the ISU by making availablefour4 of its Junior Programme Officers to augment the 2.5 ISU staff which undoubtedly contributed to its successful management of administrative logistics during the meeting.

35. Regarding the financial management of the ISU trust fund account, the GICHD continued to work closely with the ISU in its support in the preparation of the indicative schedule of contributions for States Parties and in monitoring and updating the records regarding the financial contributions of individual States Parties.

36. The 2014 hosting agreement was reviewed at the 7MSP held in September 2017 where it was resolved to extend the agreement for another three years and review it again at the 2nd Review Conference scheduled for 2020.

2017 Financial Report

37. The Financial Procedures on the financing of the Implementation Support Unit based on the principles of sustainability, predictability and ownership, adopted at the 1RC and effected from 1 January 2016 continued to be implemented in 2017. In applying these procedures, during the year under review, the ISU continued to support the Presidency in conveying to all States Parties the related invoices. The ISU also provided, through the Presidency, regular updates to States Parties on the prevailing financial position of the ISU Trust Fund. At the 7MSP it was decided that the procedures would continue to be in place and be reviewed again at the 2nd Review Conference in 2020.

38. In January 2017, the ISU Trust Fund account had an opening balance of approximately CHF 417,256 which was carried over from 2016 and included some savings made in 2016. This amount also included the carried over voluntary contributions of CHF 355,783 made by States Parties between 2013 and 2015. Following a decision taken at the 7MSP, the carryover of CHF 355,783 was redirected to the ISU Working Capital Reserve (WCR) to build up a budgetary reserve in the event of a shortfall in annual contributions.

39. As at 31 December 2017, 54 out of 100 States Parties invoiced had met their obligations contributing a total of CHF 555,473. This low number of States Parties contributing, nonetheless, represented an increase in contributing states from 39 in 2016 indicating that more States Parties had taken up their responsibilities towards the financing of the ISU. The 2017 contributions exceeded the approved ISU budget of CHF 455,511 due to the generous voluntary contributions of 13 States Parties. Total expenditure for the year was only CHF 432,329.

40. The primary reason for the underspending was due to the savings gained from the deferred recruitment of the ISU third member of staff to the 2nd quarter of the year, lower staff travel costs and from producing CCM materials electronically rather than in print form. In addition, a large amount of the funds carried over were received late in the year while some of it was contributed by States whose financial year does not follow the calendar year and thus allows the ISU to use the contribution in the first half of the following year. Therefore, the surplus contributions of CHF 170,392 carried over into 2018 ensured that the ISU continued to undertake its activities without interruption in the subsequent year.

2017 Approved versus Actual Budget with explanatory notes

41. The activities undertaken and detailed in the operational report above were all conducted within the approved ISU 2017 work plan and budget. All extra budgetary costs were financed directly by the collaborating States and/or partners.

ITEM	*2017 Approved Budget (CHF)*	*Actual Expenditure (CHF)*	*NOTES on variance*
Salaries and social charges	398 511	357 348	3rd member of team Implementation Support Assistant working 50 per cent only hired in April 2017
Communication	12 000	2 598	Mostly electronic CCM related promotional material produced
Staff travel	37 000	32 244	Travel expenses less than initially planned. All travel was related to DAP implementation workshops and seminars
Other implementation support costs	8 000	40 139	Support to CCM presidencies and Coordinators at workshops/side events and consultancy on translation. Savings made under other budget lines utilized here together with supplementary funding received from States supporting the additional activities undertaken.
TOTAL	455 511	432 329	

Salaries and social charges

42. The ISU staff structure was increased in May 2017 to two full time staff and one staff working at 50 per cent with the recruitment of the Implementation Support Assistant; a task which had been deferred from the previous year. The total amount spent on this budget line was CHF 357,348; CHF 41,163 less than the budgeted CHF 398,511 due to the savings made from this deferred recruitment. The ISU structure of 2.5 staff is now fully filled.

Communication

43. As no major print publication was produced in 2017, apart from the French and Spanish versions of the DAP, the ISU only spent CHF 2,598 of the approved budget of CHF 12,000 implementing its mandate to administer and maintain the official website of the Convention (www.clusterconvention.org); provide information about the Convention; facilitate communication among States Parties and all relevant other stakeholders, to cooperate and coordinate with relevant actors and maintain public relations; produce Convention related publications and other promotional materials as necessary. In this regard, in the year under review, the ISU prepared for distribution newsletters and brochures all available in electronic format on the Convention's website. In addition, the

ISU purchased two table flags of the current Nicaraguan presidency to be used at various events alongside the CCM flag.

Staff travel

44. The travel costs amounting to CHF 32,244 undertaken by the ISU staff included travel to support various CCM workshops held in Bangkok, Thailand; Kampala, Uganda; Zagreb, Croatia, New York, USA, Sarajevo, Bosnia-Herzegovina and Vienna, Austria. In accordance with its mandate, the ISU undertook a 2-week mission to New York to interact with national delegations represented at the First Committee (Disarmament and International Security Committee) sessions of the seventy-second General Assembly of the United Nations. The aim was to follow up on various CCM implementation matters with delegations that have no representation in Geneva, that hardly participate in Meetings of States Parties but take part in First Committee meetings and for which the ISU had no contact details of the national focal persons on the CCM.

Other implementation support costs

45. All other implementation support activities undertaken by the ISU are reported under this budget line and in 2017 these amounted to CHF 40,139. In undertaking such support activities, the ISU facilitated and participated in many CCM related events organized by the presidency or the thematic coordinators in various locations. Most of these events were funded specifically by the conveners/organizers though the ISU had to cover its own travel and accommodation costs to participate in these events.

46. The ISU delivered presentations at various workshops, seminars and to visiting students of higher institutions of learning with the intention of further raising interest while disseminating understanding of the Convention regarding the obligations and implementation status of the legal instrument, including sharing lessons learnt and key challenges in its implementation. Some of these events were held in Geneva. The ISU also engaged a consultant to translate the *Guide to Cluster Munitions 3rd edition* into French as requested by several States Parties. This cost CHF 11,977.

CCM ISU Working Capital Reserve

47. The CCM States Parties at the 1RC in 2015 resolved that "*within the ISU Trust Fund there shall be maintained a working capital reserve at a level to be determined on a regular basis by the Meeting of States Parties. The purpose of the working capital reserve shall be to ensure continuity of operations in the event of a temporary shortfall of cash.*"

48. At the 7MSP in September 2017, States Parties resolved to set the optimum ISU Working Capital Reserve (WCR) level at CHF 400,000. Furthermore, it was decided at the same meeting that the surplus of CHF 355,783 carried over three consecutive years be redirected to the WCR to add to the balance of CHF 6,959 brought forward from 2016. In 2017, only two States Parties contributed to the WCR a total of CHF 14,225. The total restricted funds held within the ISU Trust Fund during the year under review amounted to CHF 370,008.

49. Therefore, balance held in this reserve as at 31 December 2017 was CHF 376,967 leaving a shortfall of approximately CHF 23,000 to reach the recommended reserve level of CHF 400,000. The 8MSP presidency sent an appeal to CCM States Parties to contribute towards the WCR so that the optimum level is reached. As at 30 June 2018, this shortfall is still outstanding.

50. The contributions to the WCR in 2017 were as listed below:

State Party	*Amount contributed in CHF*
Mozambique	225
Switzerland	14 000
Transfer from CCM ISU TF	355 783
Sub-total	370 008
Balance brought forward	*6 959*
TOTAL	376 967

CCM Sponsorship Programme Trust Fund

51. Diverse participation at the Meetings of States Parties or at Review Conferences of the Convention continues to be crucial. In this regard, the Implementation Support Unit is mandated to organise the set-up of a Sponsorship Programme and is assisted by the Coordination Committee which provides guidance on criteria to be used for a particular meeting. The primary purpose of the Sponsorship Programme is to facilitate a broad-based and diverse participation of affected, low income States parties as well as of all other interested States unable to meet the costs of participation, which is necessary to further promote the objectives of the Convention.

52. In fulfilling this mandate in 2017, and guided by the 7MSP presidency and contributing States, the selection criteria took into consideration the following elements:

- Attendance of new States Parties
- Gender balance
- Signatory States expected to announce imminent ratification or to provide updates on progress made in their national processes
- States Parties in the process of implementing Articles 3, 4 or 5 and needing to provide updates at the meeting
- States not Party that were likely to join the Convention and/or strongly advocate its norms

53. In 2017, only four States (Australia, Croatia, Ireland and Germany) contributed to the CCM Sponsorship Programme approximately CHF 43,206.37 to facilitate the participation of low-income States at the 7MSP in September 2017. This was in addition to the CHF 17,600 carried over from 2016. Therefore, from the CHF 60,740.54 available under the Sponsorship Programme, the ISU was able to cover the travel and accommodation costs of 18 delegates from 17 States. Of these, seven were State Party representatives, six were Signatory State representatives and five were the representatives of States not Party. One of the sponsored States Not Party has since acceded to the Convention. The total amount spent on those sponsored amounted to CHF 53,779.56.

54. Funds were also made available to four other States which either did not respond or responded too late to the offer for sponsorship to participate in the 7MSP. As a result, the Sponsorship Programme Trust Fund account had a positive balance of CHF 7,972 on 31 December 2017 which was carried over into 2018.

Expenditures and Revenue Statement (CHF) of the Trust Fund CCM Sponsorship Programme

Extracted from the 2017 Audit Report

		Account 2017
EXPENDITURES		
Detailed Expenses	Travel	32 005
	Accommodation	15 301
	Per diems	5 417
	Miscellaneous	111
TOTAL EXPENDITURES		**52 835**
REVENUES		
Contributions		
Australia		11 425
Croatia		500
Germany		20 000
Ireland		11 281
TOTAL CONTRIBUTIONS		43 206
Contributions deferred from 2016		17 600
TOTAL REVENUES		**60 807**
Contributions deferred to 2018		**7 972**